

Attorney's Docket No.: 09857-009001

**OFFICIAL COMMUNICATION**

**FACSIMILE**

**FOR THE PERSONAL ATTENTION OF:**

**EXAMINER**

**GROUP FAX NO: 703-308-3691**

Number of pages including this page 8

Applicant : Richard G. Ketchum et al.  
Serial No. : 09/208,942  
Filed : December 10, 1998

Art Unit : 3628  
Examiner : Nguyen, N.

**FACSIMILE COMMUNICATION**

Title : DUAL QUOTE MARKET SYSTEM

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

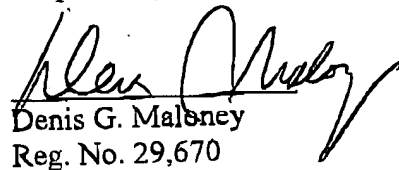
Sir:

Attached to this facsimile communication cover sheet are: 1. Copy of cancelled check;  
2. Copy of check and postcard sent to PTO; 3. Copy of Petition for Extension of Time  
(incorrect serial number); and 4. Copy of Response. These papers were timely received by the  
Patent Office as evidenced by the cancelled check and therefore entry of the papers is requested.

These papers were faxed this 6<sup>th</sup> day of May, 2003, to Group 3628, the United States  
Patent and Trademark Office.

Respectfully submitted,

Date: May 6, 2003

  
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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Art Unit : 3628

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Commissioner for Patents  
Washington, D.C. 20231RESPONSE

In response to the action mailed July 10, 2002, please amend the application as follows:

In the claims:

Please amend claims 2, 4 and 6, as follows:

2. (Twice Amended) The method of claim 1 wherein posting for the proprietary position comprises:

entering quotes for bids and offers into a quote system; and  
sending the quotes to a server that disseminates the bid and offer quotes from the market maker, along with quotes for the same security from other market makers.

4. (Twice Amended) The method of claim 3 wherein posting in response to a client order comprises:

entering an order for a security and reflecting that as a the bid quote and/or an offer quote into the quote system over a different session of the quote system than posting of quotes for the proprietary position; and

sending the agency quote to a server that disseminates that agency quote, for display and as being represented by a unique agency identifier with other quotes for the same security from the other market makers.

## CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit

Signature

Typed or Printed Name of Person Signing Certificate